



Objective-Driven Performance



Workshop Overview

Topics & Activities

Topics

- Performance Management Cycle
- New Roles & Responsibilities
- Positive Performance Dialogue
- Shaping Performance
- Pay Pool Process

Activities

- New Expectations
- Communication Styles
- Constructive Feedback
- Effective Self Assessments

NSPS SOURCE BOOK

Tab 3	Objective-Driven Performance
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Ref 4	Performance Indicators
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Ref 5	Contributing Factors
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ADD'L PRE-CONVERSION COURSES

Tab 1	HR Elements / Performance Mgt
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Tab 2	Building Alignment / SMART Objectives
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Tab 6	Pay Pool Management for Mgrs/Supvs
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Learning Objectives

- Describe the NSPS performance cycle
- Describe the roles and responsibilities of managers, supervisors and employees under NSPS
- Understand the relationship between the NSPS performance management process and the NSPS pay pool process
- Understand how to monitor performance
- Conduct a productive performance dialogue
- Describe various communication styles and how best to apply them effectively
- Write performance objective accomplishments



Questions This Workshop Will Answer

How does **feedback** drive performance?

What does an effective **self-assessment** look like?

How does an effective self assessment contribute to **rating** and **reward**?

What **communication styles** support effective **performance dialogue**?

How do I keep performance **aligned** with organizational priorities?

How do I **communicate** progress toward objectives?

What happens to **poor performers** under NSPS?

What is the **relationship** between **performance management** and the **pay pool process**?





Questions You Want Answered

At your tables

- **Choose a leader / spokesperson**
- **Come to consensus on two key questions you want answered in today's session**





Workshop Overview

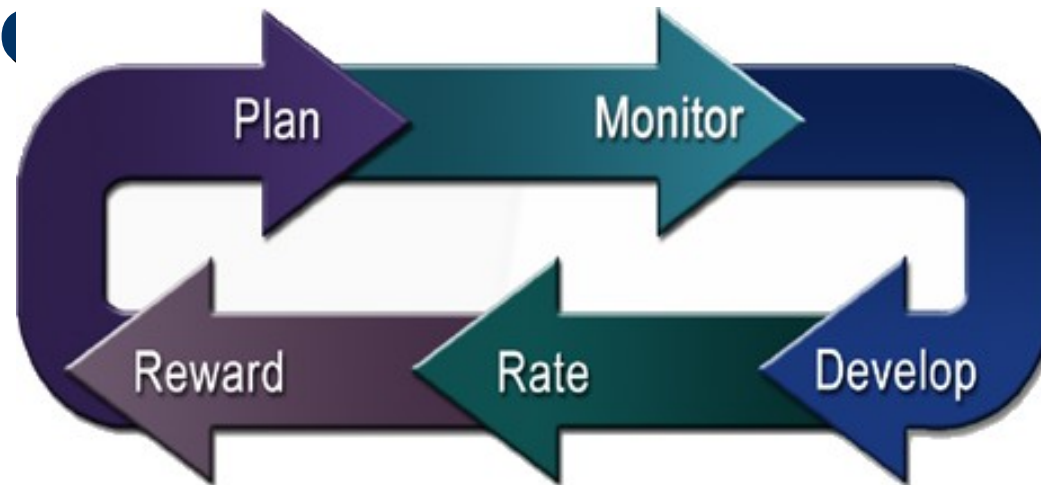
Key References

- **DoD NSPS PEO website**
 - www.cpms.osd.mil/nsps
- **Department of Navy Civilian Human Resources NSPS**
 - www.donhr.navy.mil/nsps
- **USMC Manpower and Reserve Affairs Civilian Workforce Management NSPS section (MPC-20)**
 - https://www.manpower.usmc.mil/portal/page?_pageid=278,2010250&_dad=portal&_schema=PORTAL
- **MarineNet**
 - <https://www.marinenet.usmc.mil/portal/>
- **Office of Personnel Management (OPM) Performance Management Technical Assistance Center**
 - www.opm.gov/perform/



Objective-Driven Performance

Performance Management Cycle



- Describe the NSPS performance management cycle
- Understand the relationship between the NSPS performance management process and the NSPS pay pool process



Why NSPS

NSPS is critical to DoD's transformation to a results-oriented, performance-based culture

Accountability—Employees are responsible for their careers and performance

Flexibility—NSPS is an adaptable performance management system that places the right people in the right jobs at the right time at the right value

Results—Performance and contributions link to the organization's goals and DoD's mission-critical priorities

See www.cpms.osd.mil/nsps



Why NSPS

“People are our most valuable asset, and their genius is the basis for our asymmetrical advantage in naval power.”

“By promoting the individual growth and development of our people, we will demonstrate our commitment to the individual and achieve our mission as a Total Force in service to the nation.”

See Department of the Navy Human Capital Strategy June 2004



Why NSPS

“The National Security Personnel System (NSPS) will provide the Marine Corps with the civilian workforce management tools necessary to more effectively and efficiently recruit, retain, and manage its civilian workforce. In order to better accomplish the critical national security mission, the NSPS will also provide flexibilities which can reduce reliance on military and contractor personnel performing jobs that civilians can and should be performing, thus leaving the Corps with an increased war fighting capability.”

“NSPS is a mission-driven, performance-based system that motivates, recognizes, and rewards excellence resulting

See Manpower and Reserve Affairs NSPS Section (MPC-20)

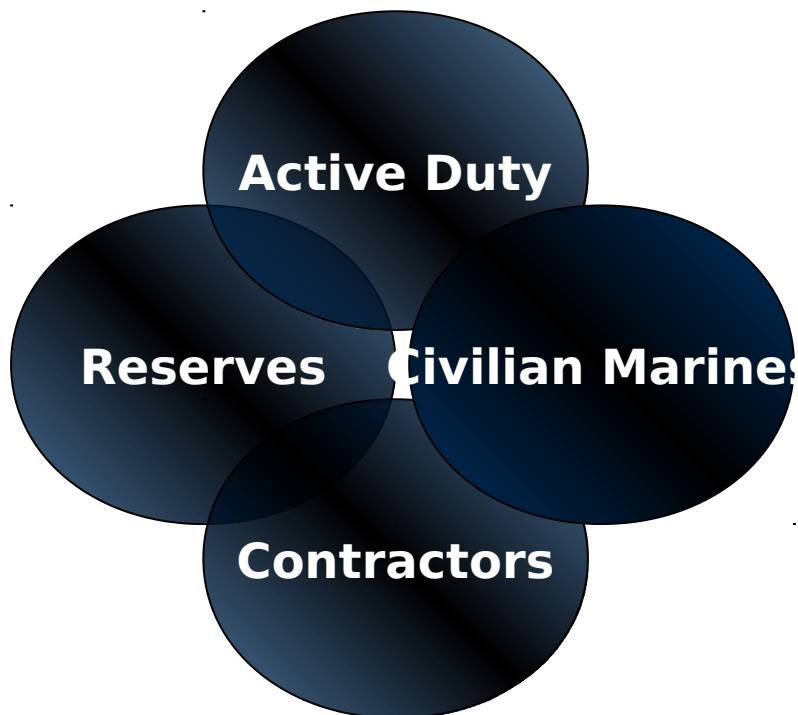
in overall performance contributions towards mission effectiveness and enhanced national



Performance Management Cycle

Total Force Structure

Goal of the Total Force is to provide a responsive manpower structure for the Marine Corps, whose focus is maintaining expeditionary readiness





Performance Management Cycle

Force Readiness and Discipline

To achieve Force Readiness and Discipline, there must be:

- **Proper guidance**
- **Specific training**
- **Effective performance systems**





Performance Management Cycle

Marine Corps Common Skills

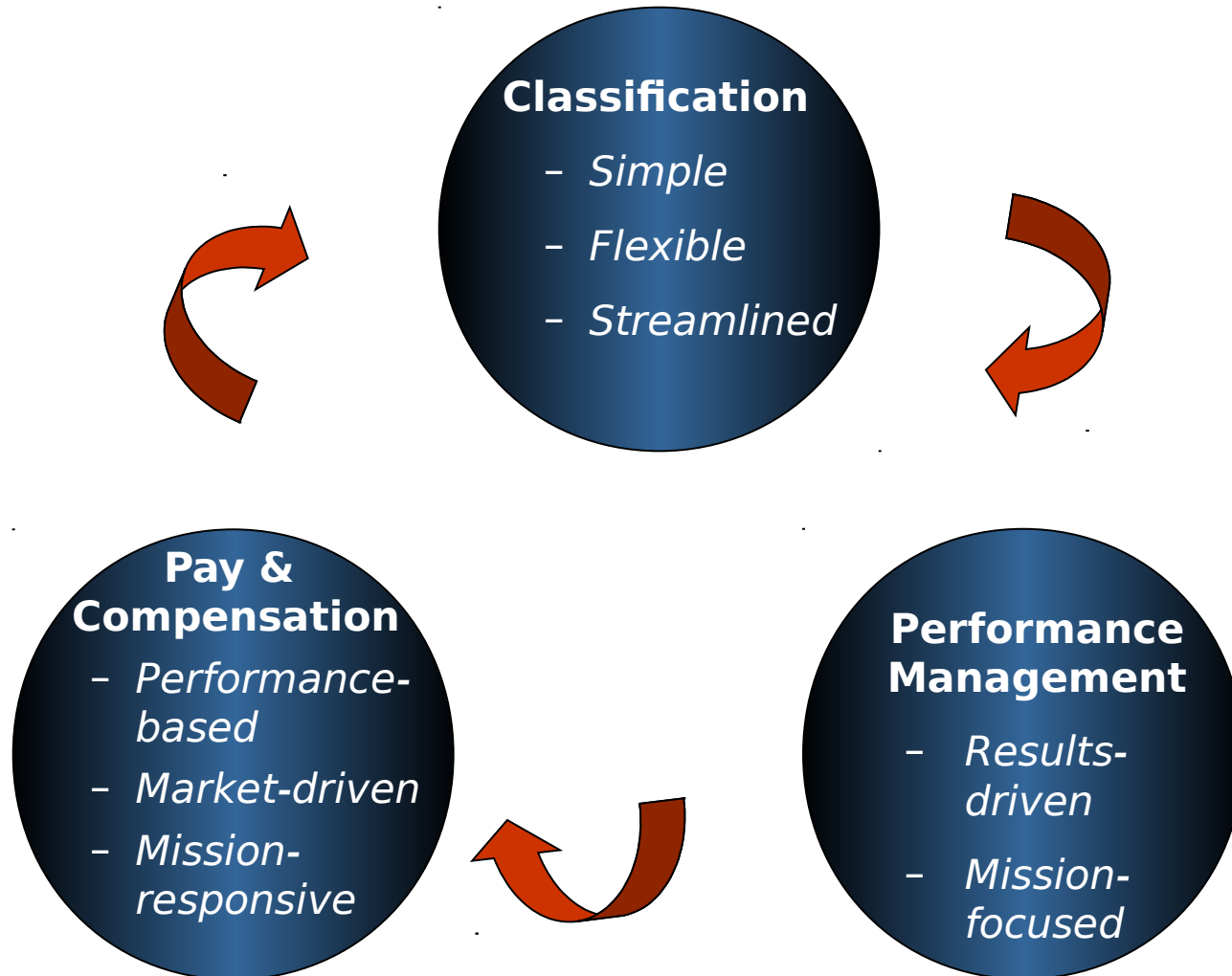
- Phase I—Basic Marine Training
 - Phase II—Basic Combat Training
 - Phase III—Sustainment Training
- Phase I—Basic SME & Workforce NSPS Training
 - Phase II—Basic Combat NSPS Training
 - Phase III--Sustainment Training





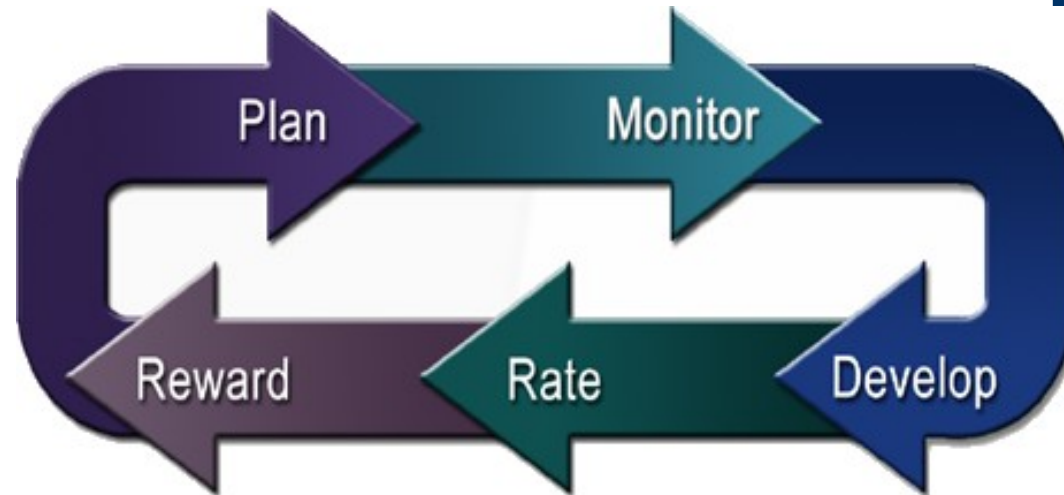
Performance Management Cycle

NSPS Design Highlights



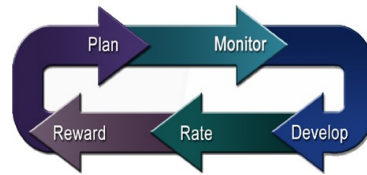


Performance Management Defined



“Applying the integrated processes of setting and communicating performance expectations, monitoring performance and providing feedback, developing performance and addressing poor performance, and rating and rewarding performance in support of the organization's goals and objectives.”

from *HR Elements for Managers, Supervisors and Employees* at
www.cpms.osd.mil/nsps



Performance Management Cycle

Purpose

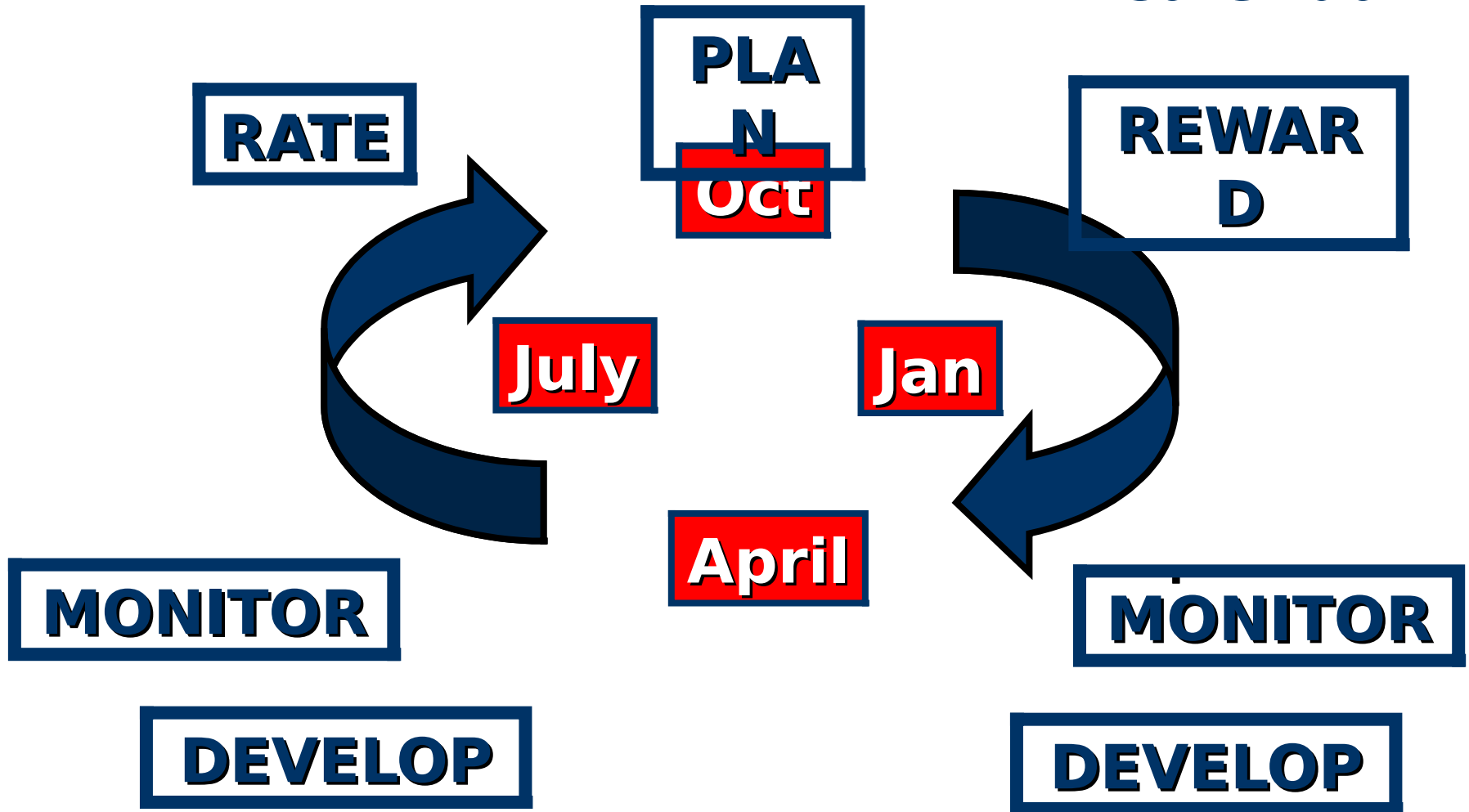
SubChapter 1940.1.1. *NSPS is designed to promote a performance culture in which the performance and contributions of the DoD civilian workforce are more accurately and fully recognized and rewarded. The NSPS performance management system is an essential part of its design by providing a **fair and equitable method for appraising and evaluating the performance of eligible employees***

See www.cpmis.osd.mil/nsps, "NSPS Documents," "Implementing Issuances"



Performance Management Cycle

Performance Management Calendar





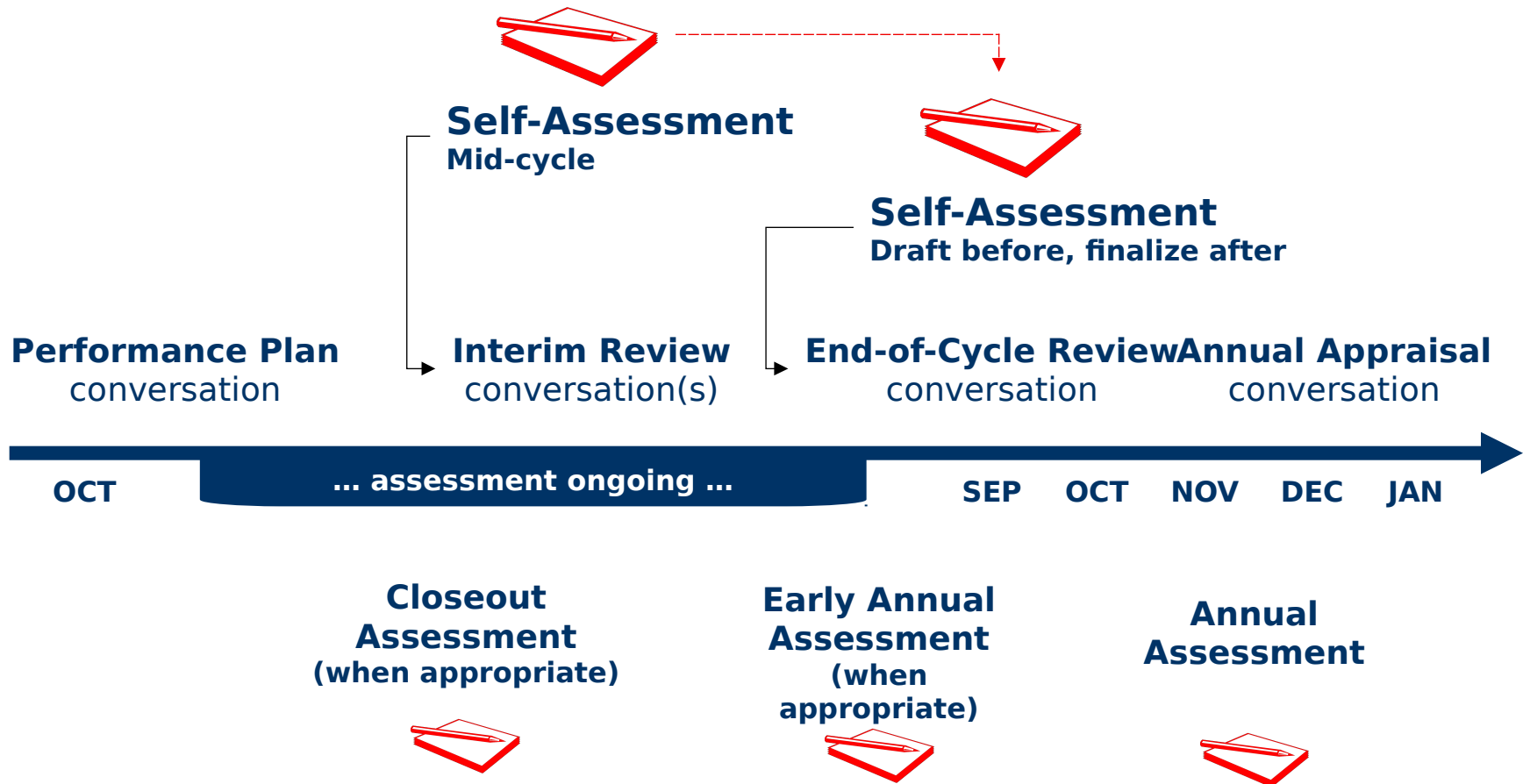
Performance Management: Key Players

- **Rating Official**
 - May also be the employee's supervisor
 - Accountable for all phases of the performance management cycle
- **Employee**
 - Accountable for completing the objectives and meeting performance standards
- **Higher-Level Reviewer**
 - May be rating official's supervisor
 - Reviews and approves performance expectations



Performance Management Cycle

Performance Assessment Calendar





Performance Assessment: Key Players

- **Rating Official**

- Provides feedback and deals with poor performance
- Adjusts job objectives and contributing factors as needed
- Documents performance milestones and accomplishments
- Conducts Interim Review and documents progress to date
- Uses Performance Indicators and Benchmark Descriptors to develop recommended rating of record, share distribution and payout distribution

- **Employee**

- Seeks feedback and updates rating official on progress
- Documents accomplishments
- May prepare self assessment for Interim Review and End-of-Cycle Review



Performance Assessment: Key Players

- **Higher-Level Reviewer**
 - Ensures recommended ratings, share assignments and payout distributions submitted are ready for reconciliation by a pay pool panel
- **Pay Pool Panel / Pay Pool Manager**
 - Develops business rules for performance management within the pay pool
 - May review recommended ratings of record to ensure consistency and equity across the pay pool
 - Reconciles recommended ratings that are poorly documented or otherwise outside the business rules
- **Performance Review Authority**
 - Provides guidance to pay pool managers
 - Decides challenges to ratings of record



Performance Management Cycle

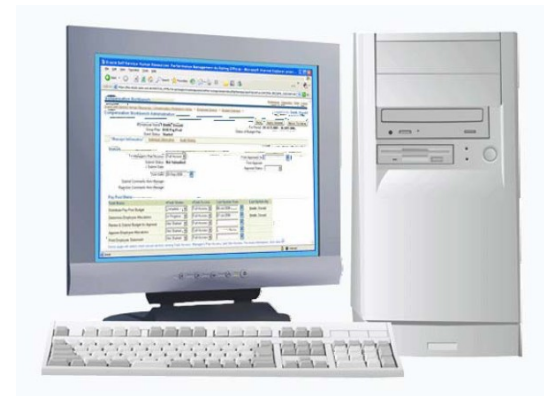
Performance Appraisal Application

- Automated tool built into DCPDS to support the entire performance management process
 - My Biz (employee access)
 - My Workplace (manager and supervisor access)

PAA User Guide available
at
www.cpms.osd.mil/nsps

Also available online ...

- NSPS 101
- *i*-Success





Performance Management Cycle **Review**

- The purpose of the performance management cycle is to provide a **fair and equitable method for appraising and evaluating performance** to objectives that are aligned with mission priorities.
- There are **five phases** in the performance management cycle: **plan**, **monitor**, **develop**, **rate** and **reward**.
- **Key players** in the **performance management cycle** are the **rating official**, the **employee** and the **higher-level reviewer**.
- During the **rating** and **reward phases**, **key players** also include the **pay pool panel** and the **Performance Review Authority**.



Performance Management Cycle

Key References

- **DoD NSPS PEO website**

- NSPS 101
- HR Elements for Managers, Supervisors and Employees (brochure)
- Implementing Issuances (Subchapter 1940)
- Town Hall Briefing, FAQs, Fact Sheets and brochures
- Performance Assessment Application (PAA) Tutorial

- **DON HR NSPS website**

- Civilian Human Resources Manual (Interim only) (CHRM)
- Navigating NSPS for Managers, Supervisors and Employees

- **USMC MPC-20 website**

- Under “References,” LOIs and MARADMINs

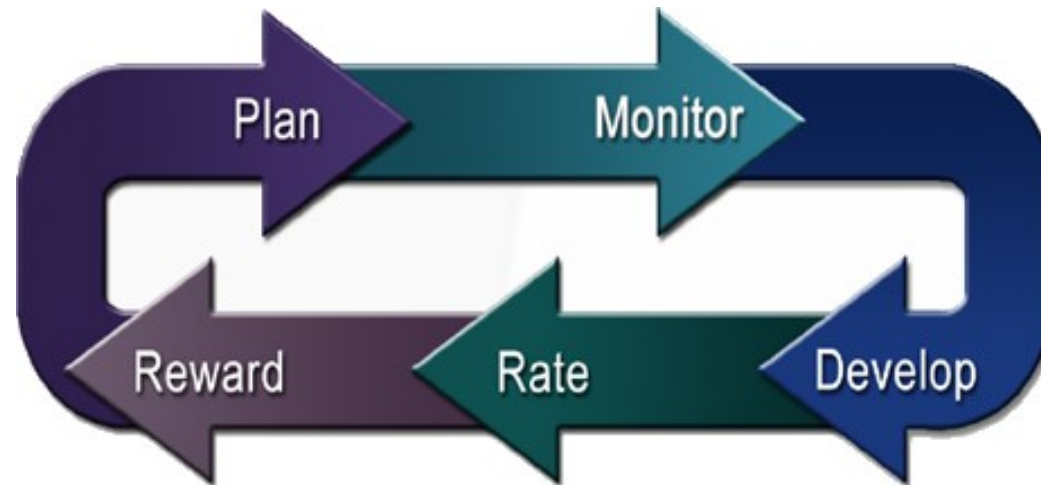
- **Center for Business of Government** www.businessofgovernment.org

- Pay for Performance: A Guide for Federal Managers
- Designing and Implementing Performance-Oriented Payband Systems

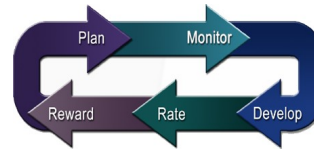


Objective-Driven Performance

Roles and Responsibilities

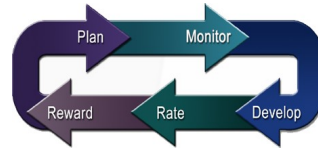


Describe the roles and responsibilities of managers, supervisors and employees under NSPS



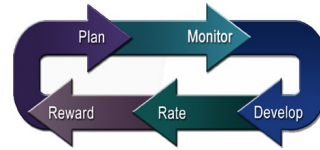
Planning Phase

- Review organizational goals, priorities and objectives
- Discuss performance expectations
- Develop job objectives
- Identify contributing factors
- Establish ongoing performance dialogue
- Document objectives and contributing factors in Performance Appraisal Application
- Complete higher-level review



Monitoring Phase

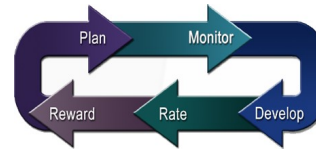
- Keep records of accomplishments
- Provide feedback
- Address performance issues
- Review Performance Indicators and Benchmark Descriptors
- Prepare an employee self assessment narrative
- Prepare supervisory assessment narrative
- Conduct an Interim Review
- Document Interim Review in the Performance Appraisal Application
- Submit for higher-level review



Roles and Responsibilities **Developing Phase**

Developing Phase

- Identify needed skills and qualifications
- Provide mentoring for career development
- Provide coaching to raise and maintain current performance
- Participate in developmental activities such as special assignments and training

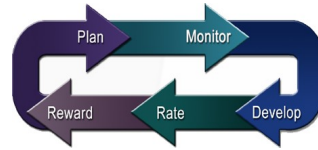


Roles and Responsibilities

Rating Phase

Rating Phase

- Collect documentation of accomplishments
- Review Performance Indicators and Benchmark Descriptors
- Complete employee self assessment
- Conduct End-of-Cycle review
- Prepare supervisory assessment narrative, with recommended rating of record, share distribution and payout distribution
- Submit for higher-level review



Roles and Responsibilities **Rewarding Phase**

Rewarding Phase

- Complete Pay Pool Panel review
- Complete Performance Review Authority review
- Complete documentation in Performance Appraisal Application
- Conduct Annual Appraisal conversation



Roles and Responsibilities **New Expectations**

At your tables

- Choose a leader / spokesperson
- Review the supervisors' and employees' roles and responsibilities under NSPS
- Brainstorm
 - What employees expect / need from supervisors to be successful
 - What supervisors expect / need from employees to be successful
- Be specific to NSPS and to your workplace



New Skills and Behaviors

Transition to NSPS requires

- Increased communication between supervisors and employees
- Clear understanding of how to link individual performance to organizational goals
- Supervisors and managers acting on new roles and responsibilities
- Managers, supervisors and employees, at all levels, being held accountable for performance to job objectives
- Employees and managers accessing just-in-time training to effectively use the new human resources systems and processes

*Adapted from NSPS PEO website tab
"Training"*



New Skills and Behaviors

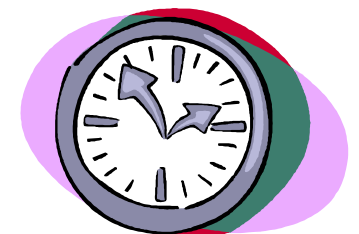
- **Operational skills**
 - New tools
 - New requirements
 - New roles and responsibilities
- **Communication and Leadership Skills**
 - Change management
 - Objective-setting
 - Feedback
 - Documenting levels of performance
 - Writing self assessments
 - Writing rating assessments
 - Coaching poor performance



Roles and Responsibilities

Finding the Time

- Some expectations have not changed
- Positions may need to be redefined
- Processes may need to be streamlined
- “ More time spent” defining and monitoring performance leads to “less time spent” dealing with misaligned or poor performance
- More “time spent” defining and shaping performance improves individual and organizational performance





Roles and Responsibilities **Summary**

- NSPS alters **roles** and **responsibilities** for both supervisors and employees.
- Success in altered roles and responsibilities requires both supervisors and employees to gain **new skills** and practice **new behaviors**.
- **Accurate self assessment** of skill levels and accessing training and other developmental resources will help ensure success during the transition.



Roles and Responsibilities

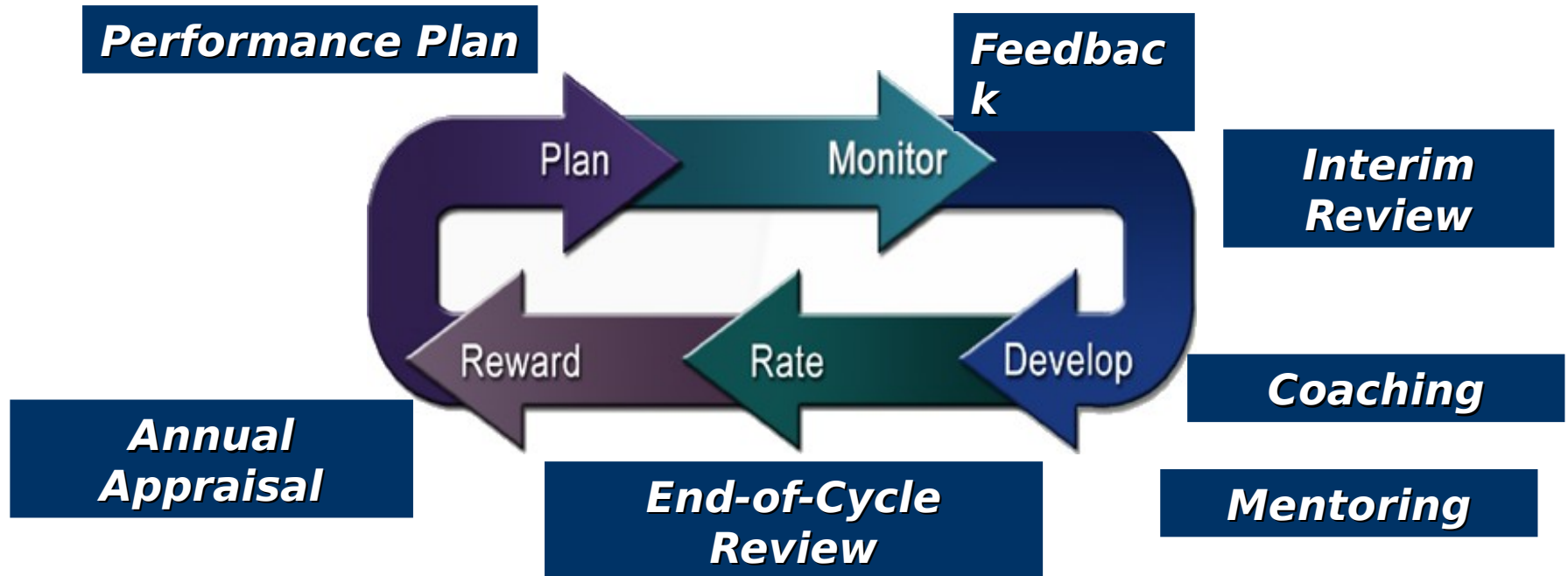
Key References

- **DoD NSPS PEO website**
 - HR Elements for Managers, Supervisors and Employees (brochure)
 - Implementing Issuances (Subchapter 1940)
 - NSPS 101 and Town Hall Briefing
 - Performance Management Overview (fact sheet)
- **DON HR NSPS website**
 - Navigating NSPS for Employees and for Supervisors
 - CHRMs (interim)
- **USMC MPC-20 website**
 - Under “References,” LOIs and MARADMINs
- **OPM Performance Center website**
 - Performance Measurement Handbook
 - Performance Management Technical Assistance Center



Objective-Driven Performance

Performance Dialogue



Conduct a productive performance dialogue—from either the employee or manager/supervisor perspective



Communication Drives Performance

Performance dialogue

- Creates shared understanding
- Builds mutual trust and confidence
- Provides a framework for identifying, addressing, and resolving performance issues
- Promotes a common sense of purpose and direction



Performance Dialogue **Communication Drives Performance**

To drive performance, dialogue should

- ✓ Be integral to the supervisory-employee relationship
- ✓ Be both formal and informal
- ✓ Focus on performance expectations
- ✓ Measure progress toward completion of objectives
- ✓ Facilitate problem-solving and conflict resolution





Performance Dialogue **Formal Structure**

Performance Plan

- Establish mutual understanding of performance expectations
- Align employee objectives with organizational goals

End-Cycle Review

- Review employee self-assessment
- Gather data for rating official's assessment narrative and recommended rating of record

Interim Review

- Check progress
- Provide constructive feedback
- Make mid-course corrections

Annual Appraisal

- Communicate rating of record, share distribution, and payout distribution



Performance Dialogue

Performance Plan

	Supervisor	Employee
Actions	<ul style="list-style-type: none">• Sets expectations, job objectives and contributing factors• Communicates appropriate work behaviors• Determines developmental needs	<ul style="list-style-type: none">• Participates in establishing the performance plan and setting job objectives and contributing factors• Assess and communicate developmental needs
Outcomes	<ul style="list-style-type: none">• Actionable performance plan recorded in PAA• Positive performance dialogue initiated• Engagement and high performance fostered• Higher-level review triggered	<ul style="list-style-type: none">• Actionable performance plan recorded in PAA• Enters into positive performance dialogue• Focused on key priorities• Connects own objectives with mission



Performance Dialogue **Interim Review**

	Supervisor	Employee
Actions	<ul style="list-style-type: none">• Gathers and reviews documentation of employee progress• Drafts assessment narrative utilizing Performance Indicators and Benchmark Descriptors• Modifies objectives and contributing factors• Updates development plan	<ul style="list-style-type: none">• Gathers and reviews documentation of progress to date• Drafts written self assessment• Provides feedback to supervisor on anticipated shortfalls and barriers• Updates development plan
Outcomes	<ul style="list-style-type: none">• Positive dialogue continued• Improved individual and organizational performance• Interim review assessment recorded in PAA• Higher-level review triggered	<ul style="list-style-type: none">• Remains focused on key priorities and objectives• Responds with energy and engagement• Records Interim self assessment in PAA



Performance Dialogue **End-of-Cycle Review**

	Supervisor	Employee
Actions	<ul style="list-style-type: none">• Gathers data through active listening, questioning, and review of written self assessment• May provide feedback on performance	<ul style="list-style-type: none">• Gathers and reviews documentation of progress to date• Drafts written self assessment• Provides supervisor with data needed to prepare recommended rating
Outcomes	<ul style="list-style-type: none">• Data gathered for recommended rating of record, share distribution and payout distribution• Higher-level review triggered	<ul style="list-style-type: none">• Commitment and engagement reinforced• Accountability established for performance outcomes• Self assessment recorded in PAA



Performance Dialogue **Annual Appraisal**

	Supervisor	Employee
Actions	<ul style="list-style-type: none">• Reviews final rating of record, number of shares and payout distribution• Discusses options for request for reconsideration if needed	<ul style="list-style-type: none">• Participates actively in discussion of final rating of record
Outcomes	<ul style="list-style-type: none">• Performance dialogue strengthened• Performance energized	<ul style="list-style-type: none">• Understands link between demonstrated performance, its value to the organization, and compensation received• Understands options for request for reconsideration



Performance Dialogue **Summary**

- There are **four key conversations** that drive the performance management cycle: **performance plan**, **interim review**, **end-of-cycle review**, and **annual appraisal**.
- During the **performance plan**, supervisors and employees set clear performance expectations and begin a positive performance dialogue.
- During the **interim review**, supervisors and employees update objectives, review progress, acknowledge accomplishments, and address shortfalls and barriers.
- The **end-of-cycle review** is an opportunity for employees to provide supervisors with their self assessment, providing supervisors with needed input to their recommended ratings of record.
- The **annual appraisal** provides employees and supervisors an opportunity to review the employee's rating of record, share distribution and payout distribution.



Performance Dialogue **Key References**

- **DoD NSPS PEO website**
 - Implementing Issuances (Subchapter 1940)
 - HR Elements for Managers, Supervisors and Employees (brochure)
 - Communicating with Your Supervisor (brochure)
 - Communicating with Your Staff (brochure)
 - Performance Management Overview (fact sheet)
- **DON HR NSPS website**
 - Navigating NSPS for Employees and for Supervisors
- **USMC MPC-20 website**
 - LOI “Performance Management”



Objective-Driven Performance

Communication Styles

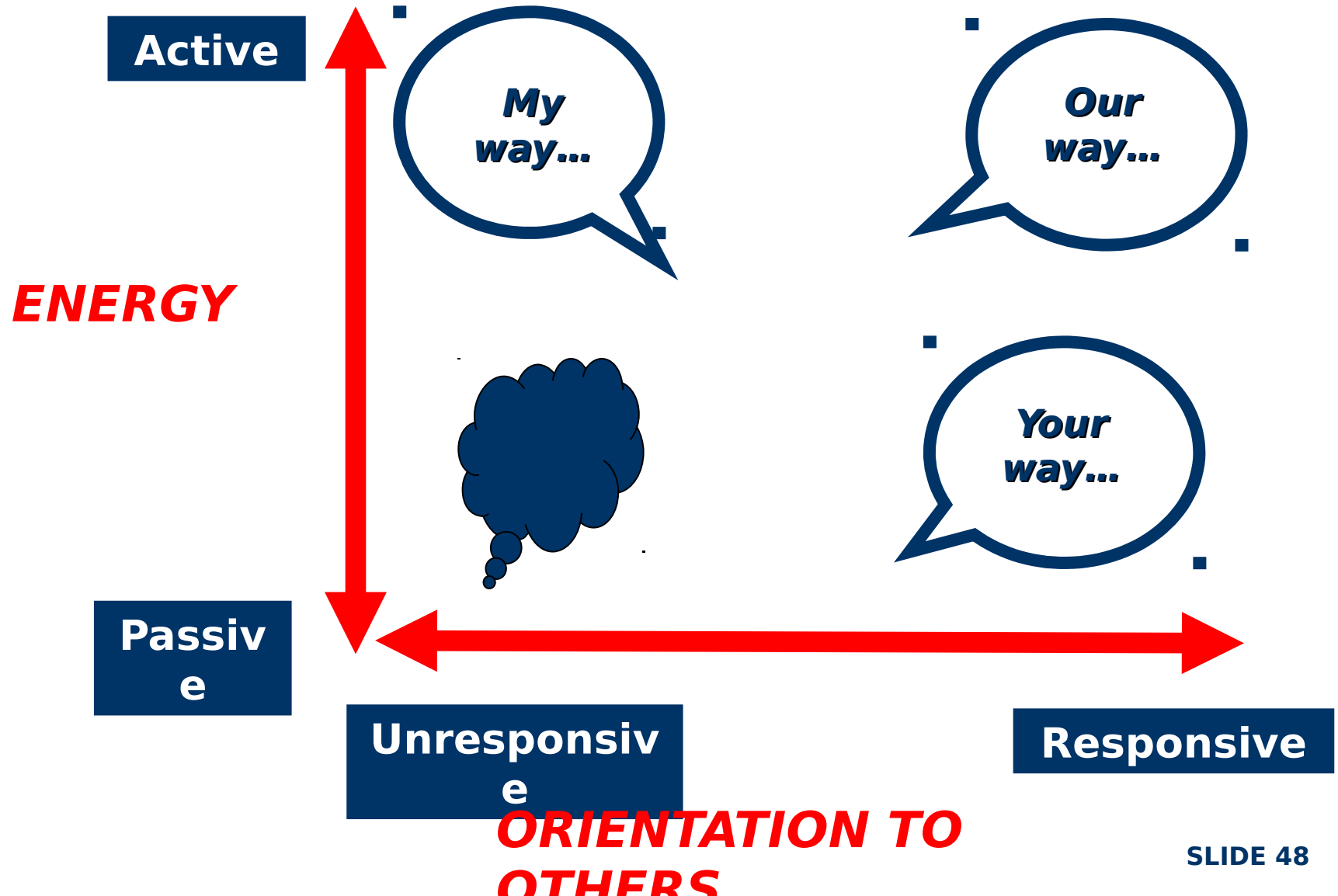


- Conduct a productive performance dialogue
- Describe various communication styles and how best to apply them effectively



Communication Styles

Elements of Style





Video Analysis: Marion and Joan

- **Length: about 2 minutes**
- **Characters:**
 - **Supervisor: Marion**
 - **Employee: Joan**
- **Situation: Performance Planning (Conversation 1) with a twist—resetting performance expectations to ensure mission-critical objectives are understood when conditions change**
- **Script**
- **Back story:**
 - **Joan** has been a solid performer.
 - **Marion** has sent Joan an e-mail with her objectives altered to reflect the new



Communication Styles

Video Analysis: Joan

- **Focusing on Joan**
 - **What communication style(s) does she demonstrate?**
 - **What impact does those choices have on the outcome of the conversation?**



Video Analysis: Marion

- **Focusing on Marion**
 - **What communication style(s) does she demonstrate?**
 - **What impact does those choices have on the outcome of the conversation?**



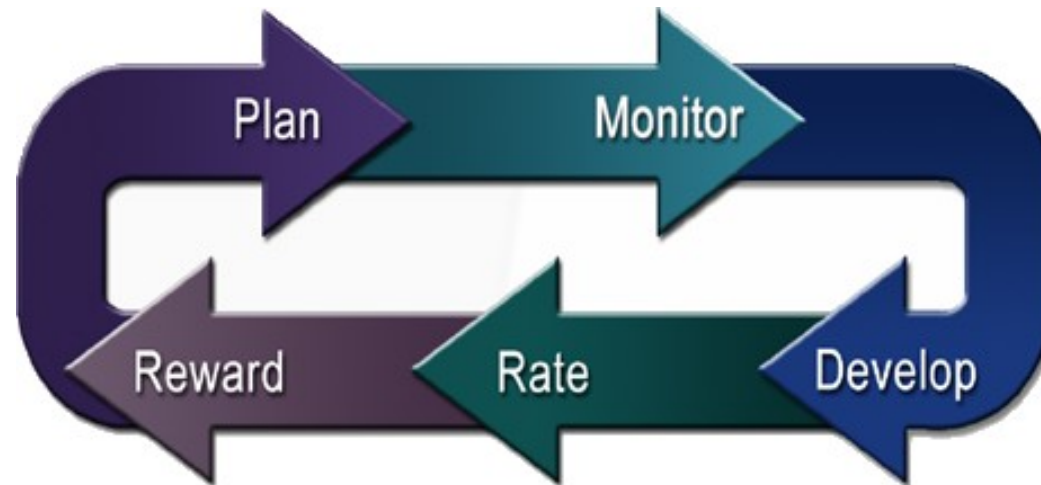
Communication Styles **Summary**

- To maximize the key outcomes for each conversation, both supervisors and employees must choose the **most appropriate style of communication** for the specific issues and circumstances.
- Communication styles can be established looking at **two key elements, energy** (passive or active) and **orientation to others** (responsive or unresponsive).
- **Positive and appropriate intentional choices** for styles of verbal and non-verbal communication foster positive performance dialogue.



Objective-Driven Performance

Planning Phase



- Describe the NSPS performance management cycle
- Describe the roles and responsibilities of managers, supervisors, and employees under NSPS
- Conduct a productive performance dialogue **SLIDE 53**



Employees are engaged by knowing

- **Connection between objectives and strategy**
- **Importance of objectives to organizational success**
- **Expectations for completed assignments**



Supervisors support employee engagement by

- **Setting realistic performance expectations**
- **Breaking down projects into manageable components**
- **Evaluating employee potential accurately**
- **Creating clear work plans and timetables**
- **Communicating performance expectations clearly**



Planning Conversation Checklist

Plan

- **Review priorities**
- **Allocate assignments**
- **Draft objectives**
- **Choose time and place**





Planning Conversation Checklist

Do

- **Communicate verbally and non-verbally to foster and demonstrate engagement**
- **Listen actively**
- **Be SMART**
- **Establish mutual understanding**





Planning Conversation Checklist

Review

- **Capture in PAA**
- **Follow up on questions and concerns**
- **Note items for future action**
- **Submit for higher-level review**





Planning Phase

Rewriting the Script

In your groups

- Review the conversation between Marion and Joan
- Using an **active responsive** style and the **Plan Do Review** checklist
- Rewrite the script





Planning Phase **Summary**

- **Performance plan** is the first conversation of the appraisal cycle.
- This conversation may need to be **repeated** during the appraisal cycle to keep expectations and objectives current and aligned.
- A **positive performance dialogue** begins with this conversation.
- Following the sequenced **Plan, Do and Review** checklist will help ensure attaining desired outcomes of this conversation.



Planning Phase

Key References

- **DoD NSPS PEO website**
 - PAA Tutorial
 - NSPS 101
 - *i*-Success
 - Writing a SMART Job Objective (fact sheet)
 - Contributing Factors (fact sheet)
 - Implementing Issuances (Subchapter 1940)
- **USMC MPC-20 website**
 - LOI “Performance Management”
 - SMART Objectives



Objective-Driven Performance

Monitoring Phase



Constructive Feedback

- Describe the roles and responsibilities of managers, supervisors, and employees under NSPS
- Understand how to monitor performance
- Conduct a productive performance dialogue



Feedback Shapes Performance

- Reinforces desirable behavior
- Refocuses undesirable behavior
- Acknowledges contributions and accomplishments
- Builds mutual trust and confidence
- Provides a framework for anticipating, identifying, addressing, and resolving performance issues
- Promotes a common sense of purpose and direction



Constructive Feedback

Feedback Opportunities

- During establishment of performance objectives
- When checking on progress toward objectives
- Following completion of a project, task or objective

Anytime you see behavior that you want to reinforce or change



Constructive Feedback



Feedback Guidelines

- **Content**
- **Manner**
- **Timing**
- **Frequency**





Defining Constructive Feedback

	Negative What you did wrong	Positive What you did right
Constructive 	<ul style="list-style-type: none">• Correcting• Refocusing• Improving relationship and performance	<ul style="list-style-type: none">• Reinforcing• Recognizing• Improving relationship and performance
Destructive 	<ul style="list-style-type: none">• Focus on flaws• Criticizing• Being sarcastic• Diminishing relationship and performance	<ul style="list-style-type: none">• Flattering• Fawning• Manipulative• Diminishing relationship and performance



Video Analysis: Informal Feedback

Individually

- **For each vignette, consider the following**
 - Was the feedback as given **constructive** or **destructive**?
 - Was the employee's performance likely to improve?
 - Was the relationship between supervisor and employee strengthened?
- **Use the middle column to note your analysis**



Constructive Feedback

Moving to Dialogue

In your groups

- Review each vignette
- Was the feedback as given **constructive** or **destructive**? Consider both **verbal** and **non-verbal** communication
- What should the **employee** say or do to reestablish or maintain a positive performance dialogue?



Constructive Feedback **Summary**

- **Feedback** is a powerful tool for performance improvement.
- **Constructive feedback**, whether positive or negative, helps the receiver do his or her job better.
- Feedback is most effective when it is **timely**, **factual**, and **conversational**.



Dealing With Poor Performance

Objective-Driven Performance

Monitoring Phase



Dealing with Poor Performance

- Describe the roles and responsibilities of managers, supervisors and employees under NSPS
- Understand how to monitor performance
- Conduct a productive performance dialogue



Dealing With Poor Performance

Accountability

- **Supervisors and managers** are accountable for providing adequate guidance, fair and actionable feedback, and resources necessary for employees to perform to their highest level
- **Employees** are accountable for performance to their goals and objectives in alignment with the organization's mission and strategy



Dealing With Poor Performance

Why

**Retention
of valued
staff**

**Raising the
morale of
other team
members**

**Improved self-
confidence**



**Reinforcing a
positive work
culture**

**Raising
individual
and
organizational
performance**



“Supervisors will address performance deficiencies promptly to allow as much time as possible for employees to improve performance before the annual closeout rating.”

Letter of Instruction for Implementing Performance Management Under NSPS – Interim Guidance (11 Jan 2007)

“Any time management determines an employee is failing to meet expectations, management must take steps to promptly address the employee’s unacceptable performance.”

Implementing Issuances, Subchapter 1940.8.1



Dealing With Poor Performance

Why Not

**Too time
consuming**

**Requires
special skills**

**Too complex
and technical**



**Lower the
morale of the
team**

Unpleasant

**Lack of
upper**

**management
may be
appealed and
overturned**



Dealing With Poor Performance

Checklist

Plan

- Define desired performance
- Gather data on current performance
- Conduct a gap analysis
- Establish the desired outcome
- Develop talking points
- Set the time and place





Dealing With Poor Performance

Checklist

Do

- Open the meeting—establish rapport
- Set the tone
- Define the issues
- Address barriers and shortfalls
- Acknowledge accomplishments
- Listen actively
- Respond calmly
- Plan for remedial action
- Schedule follow-up





Dealing With Poor Performance

Checklist

Review

- Follow up on questions and concerns
- Complete action items
- Monitor progress on established milestones





Options

- **Developmental options**
 - Remedial training
 - Mentoring
 - Coaching
 - Reassignment
- **Disciplinary options**
 - Performance Improvement Plan (PIP)
 - Letter of counseling
 - Verbal or written warning
 - Written reprimand
 - Adverse action



Dealing With Poor Performance

Giving Correcting Feedback

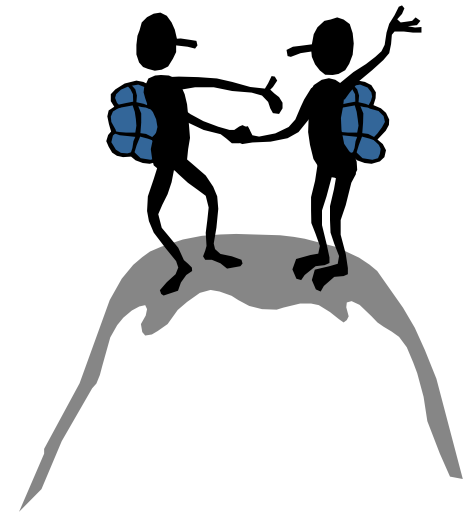
- Pinpoint the undesirable behavior
- Describe the negative outcome of that behavior
- Pause to allow the recipient to respond
- Describe the desired behavior and its outcomes
- Develop a plan of action
- Confirm the receiver's ability to implement the plan
- Set a deadline for follow-up





Accepting Correcting Feedback

- Presume positive intent
- Listen actively
- Wait to reply
- Agree if possible
- Apologize if necessary
- Correct only if needed
- Explore options for solution
- Begin action planning





Dealing With Poor Performance

Action Planning

Action Planning

- Makes feedback operational
- Can address needed improvements or opportunities for progress

Action Plan Components

- Desired level of performance
- Current level of performance
- Roadblocks and challenges
- Strengths, abilities, tools and resources
- Tactical steps and timeline





Dealing With Poor Performance

Action Planning

In your groups

- Review the interaction between **Marion** and **Joan**
- Take on the role of **Marion's supervisor**
- Create an **action plan** for Marion based on the needed outcomes and the behavior you observed



Dealing With Poor Performance

Summary

- Supervisors are **required** to deal with poor performance.
- Both **developmental** and **disciplinary** options are available for dealing with poor performance.
- Establishing **positive performance dialogue** effectively supports dealing with poor performance.
- **Action planning** for improvement makes performance improvement based on constructive feedback more likely to occur and more likely to be sustained.



Dealing With Poor Performance

Key References

- **DoD NSPS PEO website**
 - HR Elements for Employees, Supervisors and Managers (brochure)
 - Implementing Issuances (Subchapter 1940)
- **DON HR website**
 - CHRMs (interim)
- **USMC MPC-20 website**
 - LOI “Performance Management”
- **OPM Performance Management Technical Assistance Center**
 - Resource Center for Addressing and Resolving Poor Performance
 - “Addressing and Resolving Poor Performance”



Objective-Driven Performance

Monitoring Phase



Interim Review

- Describe the roles and responsibilities of managers, supervisors and employees under NSPS
- Understand how to monitor performance
- Conduct a productive performance dialogue



Video Analysis: AI's Interim Review

At your tables

- What does **LTC Martinez** do that **helps** meet the goals of an interim review?
- What does **LTC Martinez** do that **hinders** meeting the goals of an interim review?
- What does **AI** do that **helps** meet the goals of an interim review?
- What does **AI** do that **hinders** meeting the goals of an interim review?



- **Key outcomes**

- Performance plan updated or confirmed
- Progress acknowledged
- Barriers and shortfalls identified
- Developmental needs addressed

- **Key deliverables**

- Employee self assessment narrative
- Supervisor's interim review narrative



Plan

- Review job objectives and contributing factors
- Review current mission priorities
- Review documentation of progress made
- Draft assessment narrative
- Choose time and place





Interim Review **Checklist**

Do

- Communicate to foster and demonstrate engagement
- Listen actively
- Acknowledge accomplishments
- Address barriers and shortfalls
- Adjust job objectives and contributing factors
- Agree on action items





Interim Review **Checklist**

Review

- Capture in PAA
- Submit for Higher-Level Review
- Complete action items





Interim Review **Summary**

- The Interim Review is the **second** of **four key conversations** that drive the performance management cycle.
- This conversation may be **repeated** if needed.
- This conversation continues a **positive performance dialogue** by acknowledging accomplishments and identifying barriers and shortfalls to be overcome.
- Following the sequence **Plan, Do and Review** will help ensure attaining desired outcomes of this conversation.



Interim Review

Key References

- **DoD NSPS PEO website**
 - HR Elements for Employees, Supervisors and Managers (brochure)
 - Implementing Issuances (Subchapter 1940)
 - Focus on Performance—Managers and Supervisors (brochure)
 - Focus on Performance—Employees (brochure)
 - Performance Management Overview (fact sheet)
- **DON HR website**
 - CHRMs (interim)
- **USMC MPC-20 website**
 - LOI “Performance Management”



Interim Self Assessment **Objective-Driven Performance**

Monitoring Phase



Interim Self Assessment

Write performance objective
accomplishments



A narrative statement that:



- Highlights your achievements
- Paints a clear picture of your accomplishments
- Relates your contributions to organizational goals
- Helps your supervisor “fill in the holes” in his/her records



Interim Self Assessment **Barriers**

I just did my job

My supervisor should know what I've done

Why bother? They'll do what they want to do



I'm too busy doing my job to write about doing my job

It was a team effort

I don't like to brag

I don't write well



Interim Self Assessment **Key Elements**

C ontribution to Mission

- Make the connection
- Answer the “**why**”

C ontext of Accomplishment

- Environmental challenges
- Internal and external barriers
- Developmental efforts
- Benchmark descriptors
- Answer the “**how**”

C ompletion of Assignments

- Measures of content
- Products delivered
- Performance indicators
- Answer the “**what**”

**Three
C's**



Interim Self Assessment Key Characteristics

Clear

Eschew
obfuscation

C

Crisp
Concise





Interim Self Assessment **Making An Impact**

In your groups

- Review the examples
- Determine if the employee self assessments
 - Are **clear**, **crisp** and **concise**
 - Include **completion**, **context** and **contribution**
 - Support others' assessment of progress
- Make note of edits that would improve the examples



The Good, The Bad and The Ugly

In your groups

- Review the scenario(s)
- Review the appropriate Performance Indicators and Benchmark Descriptors
- Determine if the employee self assessment
 - Is **clear**, **crisp** and **concise**
 - Includes **completion**, **context** and **contribution**
 - Supports others' assessment of accomplishment



Interim Self Assessment

Practice, Practice, Practice

Individually

- Identify a mission-focused accomplishment
 - Service provided
 - Decision made
 - Product designed or delivered
- Using the worksheet, analyze what you accomplished and how you accomplished it



Interim Self Assessment

Practice, Practice, Practice

In pairs or trios

- Take on one of two roles
 - Speaker
 - Listener
- **Speakers:** Share your accomplishment
- **Listeners:** Use active listening skills to understand the accomplishment



Interim Self Assessment **Summary**

- Completing a **self assessment** is the best way to “help your supervisor help you.”
- Maintain a **record** of your accomplishments throughout the appraisal period.
- **Provide data** for key measures and contributing factors.
- Use the **Three Cs**.
 - Clear, crisp, concise
 - Completion, context, contribution
- **Don't undersell** yourself. Remember what Dizzy Dean said, “It ain't bragging if you done it.”



Interim Self Assessment **Key References**

- **DoD NSPS PEO website**
 - PAA tutorial
 - Implementing Issuances (Subchapter 1940)
 - Self Assessment (fact sheet)
 - *i*-Success
- **USMC MPC-20 website**
 - LOI “Performance Management”
- **OPM website**
 - Performance Measurement Handbook
 - Guide to SES Qualifications, pages 7-8, “Writing Executive Qualifications Statements”



Developing Phase

Objective-Driven Performance

Developing Phase



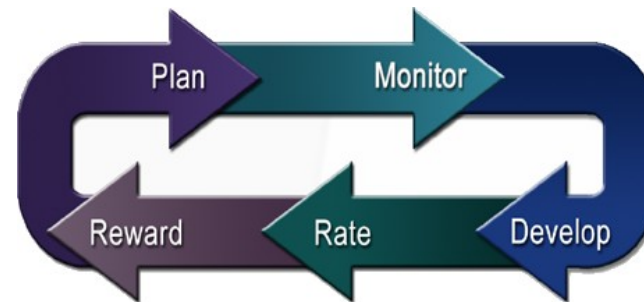
Coaching and Mentoring

- Describe the roles and responsibilities of managers, supervisors and employees under NSPS
- Conducting a productive performance dialogue



Developing Phase **Outcomes**

- **Identify needed skills and qualifications**
- **Provide mentoring and coaching**
- **Participate in training and developmental activities**





Developing Phase **Developmental Mindset**

A Developmental Mindset is

- Focusing on process and relationship
- Preferring two-way communication about performance now and in the future
- Assessing individual employees with a long term view of their potential contributions
- Responding to the individual, not the position



Developing Phase **Benefits**

- ✓ Promotes recognition of individual strengths and achievements
- ✓ Enhances retention and motivation
- ✓ Supports succession planning
- ✓ Enhances organizational flexibility
- ✓ Ensures organizational survival





Steps to a Developmental Relationship

- Establish a positive working relationship
- Observe performance frequently
- Provide timely feedback
- Ensure meaningful recognition
- Assist gaining self-awareness
- Support on-going professional development





Developing Phase **Developmental Opportunities**

- When a change in performance is noticed
- When assignments change
- When an individual needs assistance in reaching their objectives
- When encouraging employee self-assessment
- When an opportunity to develop skills emerges



Developing Phase **Recognizing the Moment**

- Mutual agreement to enter into a dialogue
- Clear boundaries
- Rapport based on recognition of the other person as an individual
- Trust based on honesty and integrity demonstrated in action and intent
- Supportive environment for taking risks





Developing Phase **AI's Final Review**

At your tables

- Choose a leader /spokesperson
- Discuss the following
 - Did **LTC Martinez** use this conversation as an opportunity to take a **developmental mindset**?
 - Did **AI** use this conversation as an opportunity to take a **developmental mindset**?
- Script



Civilian Marine Development Programs

- **Civilian Workforce Development Section (MPC 30)**
 - **Civilian Workforce Development Application (CWDA)**
 - **Leadership Development**
 - **Mentor Program**
- **Individual Development Plans (IDP)**
- **MarineNet**



Developing Phase **Summary**

- This phase of the performance management cycle is **iterative** and **continual**.
- **Mentoring Programs** and **Individual Development Plans** are formal mechanisms supporting the development phase.
- The **Civilian Workforce Development Application (CDWA)** provides guidance on career pathing.
- Development requires a **long term mindset** that focuses on both the needs and skills of the individual performer and the needs of the organization.



Developing Phase **Key References**

- **DoD NSPS PEO website**
 - **Developmental (Positions) Fact Sheet**
 - **Implementing Issuances (Subchapter 1940)**
- **DON HR website**
 - **Navigating NSPS for Managers, Supervisors and Employees**
- **USMC MPC-30 website**
https://www.manpower.usmc.mil/portal/page?_pageid=278,2008306&_dad=portal&_schema=PORTAL
 - **Civilian Workforce Development Application (CDWA)**
 - **Mentor Programs**
 - **Leadership Programs**
 - **Training resources**



Objective Driven Performance Rating and Rewarding Phases

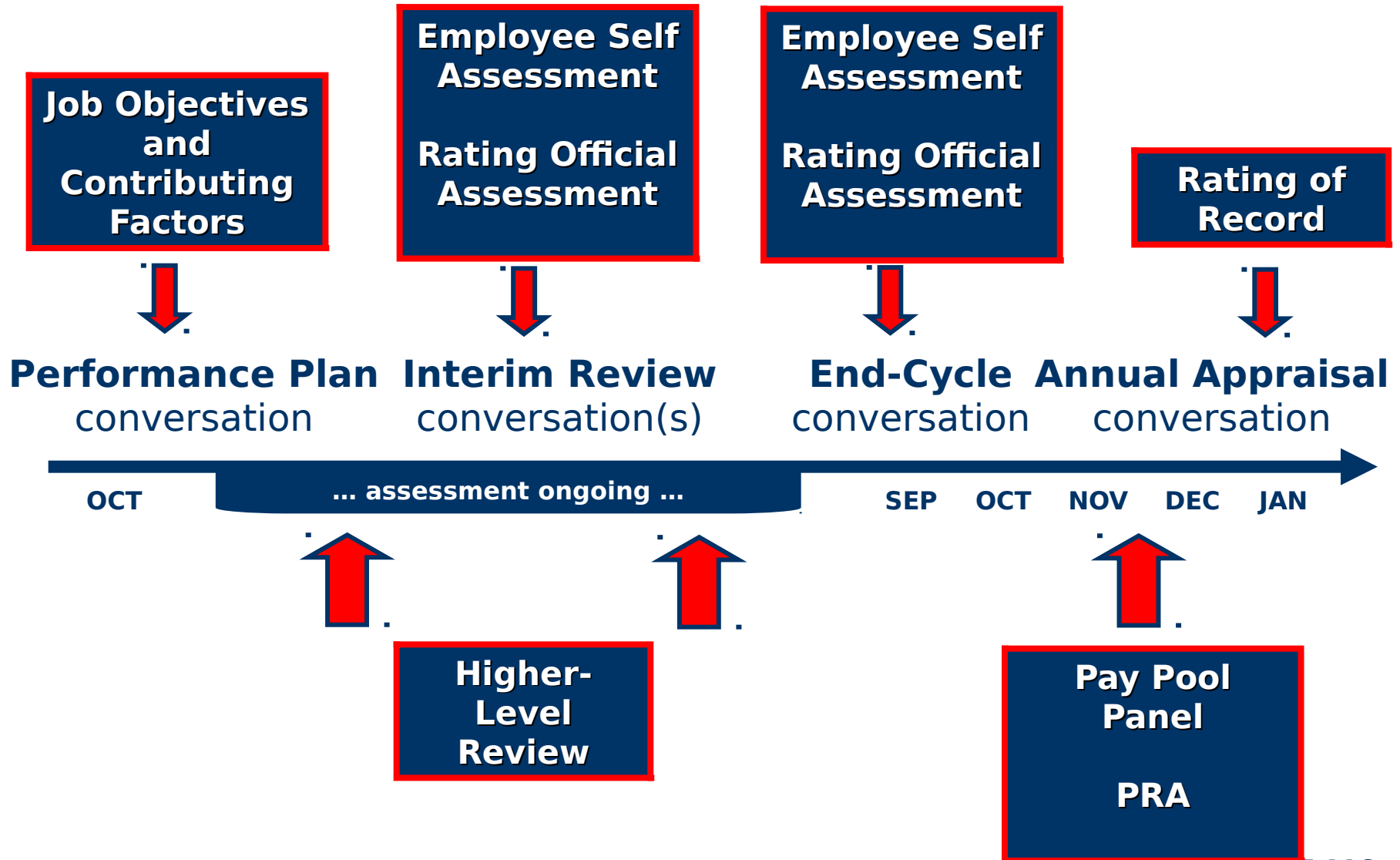


- Describe the roles and responsibilities of managers, supervisors and employees under NSPS
- Understand the relationship between the NSPS performance management process and the NSPS pay pool process



Rating and Rewarding Phases

Review: Key Milestones





Rating and Rewarding Phases

Rating Process Steps

Write Self-Assessment

- Provide data for all job objectives and measures

Write Supervisory Assessment

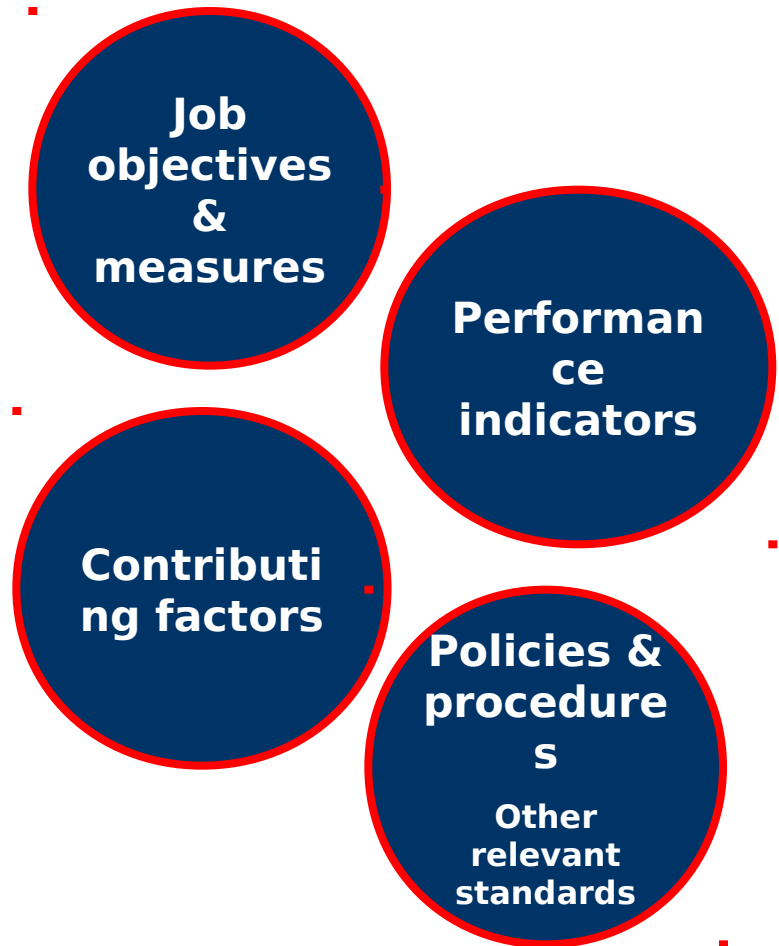
- Build on and supplement employee self-assessment

Rate Job Objectives

- Determine a base rating using performance indicators
- Adjust using contributing factors

Recommend Rating

- Average objective ratings to determine overall rating

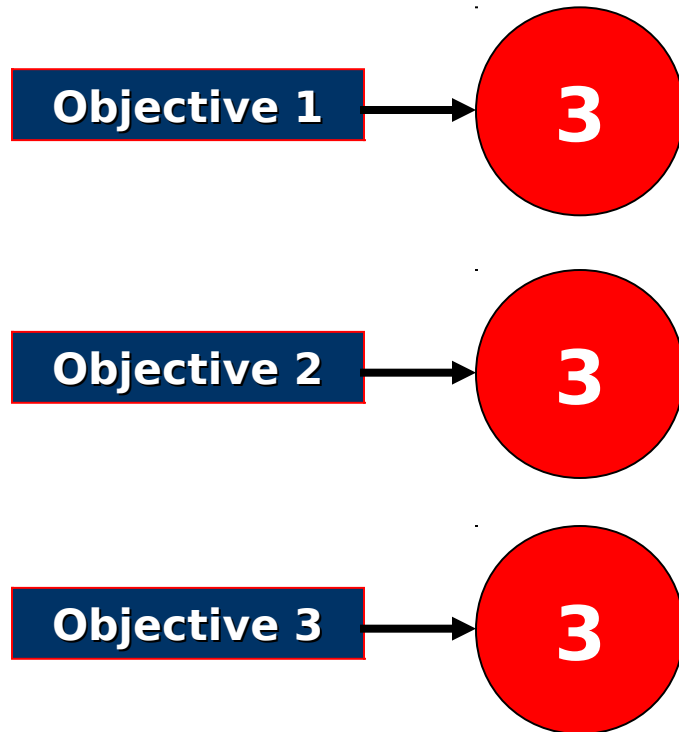




Rating and Rewarding Phases

Rating Mathematics

Rate the “What” Using Performance Indicators



Rating Scale

5 = Role Model

4 = Exceeds
Expectations

3 = Valued Performer

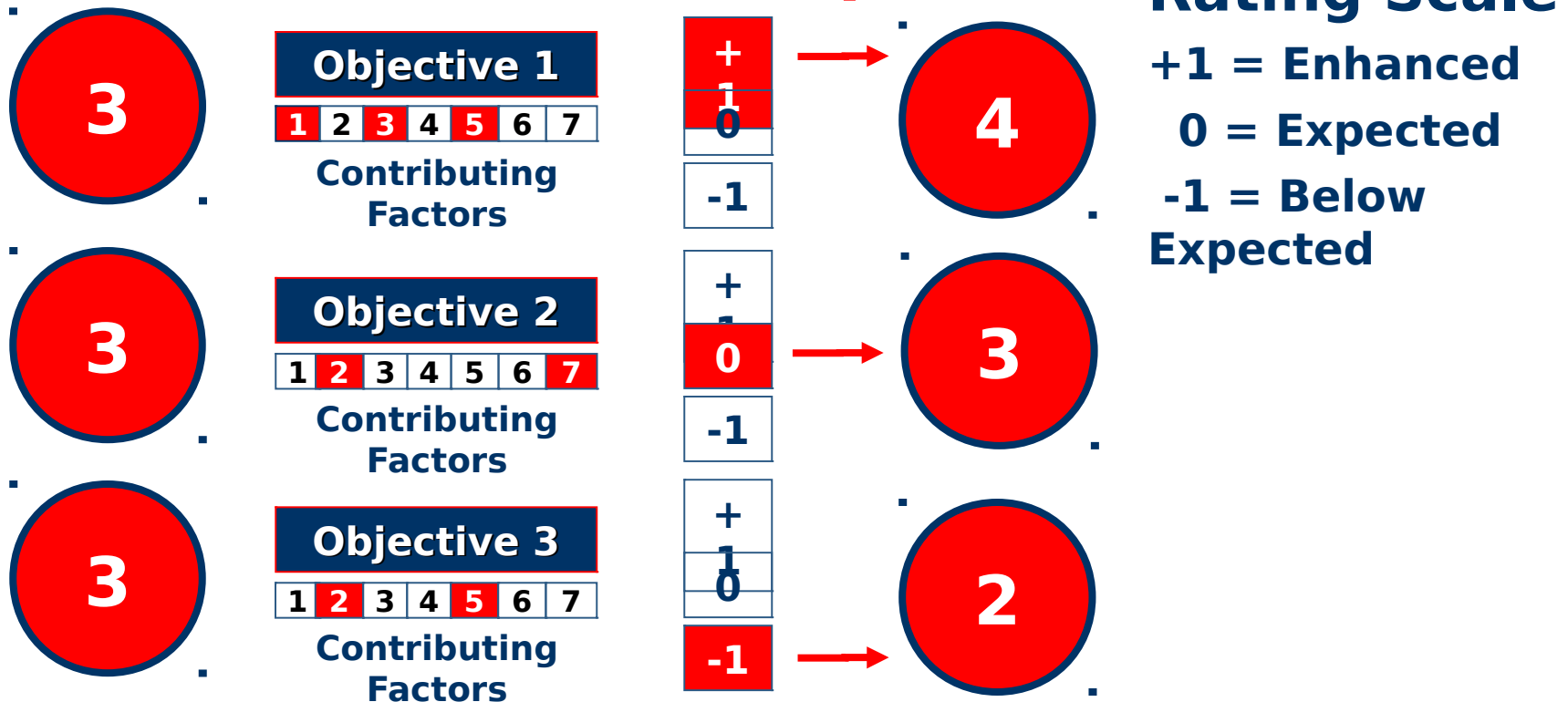
2 = Fair

1 = Unsuccessful



Rating and Rewarding Rating Mathematics

Rate the “How” Using Benchmark Descriptors





Rating and Rewarding Phases **End-of-Cycle Review Checklist**

Plan

- Review Job Objectives and Contributing Factors
- Review documentation of accomplishments
- Compare with Performance Indicators and Benchmark Descriptors
- Draft self assessment
- Choose time and place





End-of-Cycle Review Checklist

Do

- Communicate clearly, crisply and concisely
- Focus on evidence of accomplishment
- Use open-ended questions to foster dialogue
- Use probing questions to clarify facts and details
- Paraphrase to ensure understanding
- Provide constructive feedback





Rating and Rewarding Phases

End-of-Cycle Review Checklist

Review

- Edit self assessment
- Write supervisor assessment narrative
- Rate individual objectives
- Average objectives for overall recommended rating of record
- Capture in PAA
- Submit for higher-level review





Rating and Rewarding Phases

Pay Pool Purpose

- Holds managers and supervisors accountable for rating employees fairly and equitably
 - Ensures decisions regarding compensation and rewards receive higher-level review
 - Validates decisions made at the individual level align with the organization's mission and goals
 - Ensures results are met and all decisions conform to Merit System Principles



Rating and Rewarding Phases

Pay Pool Operations





Rating and Rewarding Phases

Reward Roles

Higher-Level Reviewer
Ensures quality
of written appraisals

Higher-Level Reviewer

Focus on employee and
supervisor assessment
statements

Sub Pay Pool Panel
Ensures equity
across supervisors

Sub Pay Pool Panel

Focus on ratings and shares

Pay Pool Panel
Ensures equity
across sub pay pools

Pay Pool Panel

Focus on shares and payouts

PRA
Ensures equity
across pay pools

Performance Review Authority (PRA)

Focus on resolving challenges and
ensuring fiscal integrity



Rating and Rewarding Phases

Annual Appraisal

Annual Appraisal

- Occurs after pay pool panel deliberations
- Review of written appraisal in PAA
- Communicating final rating of record and performance payout



Rating and Rewarding Phases **Annual Appraisal Checklist**

Plan

- Review rating for record, number of shares and share distribution
- Choose time and place





Rating and Rewarding Phases **Annual Appraisal Checklist**

Do

- Communicate to foster engagement
- Provide constructive feedback
- Review final rating of record, number of shares and share distribution
- Review reconsideration options





Rating and Rewarding Phases **Annual Appraisal Checklist**

Review

- Request reconsideration if necessary





Rating and Rewarding Phases

Challenging a Rating

- Employees **may** challenge a rating of record
- Employees **may not** challenge
 - An interim review or closeout assessment
 - A recommended rating or an individual job objective rating if the requested remedy will not alter the rating of record
 - A payout amount, number of shares, value of shares, or distribution of payout between salary increase and cash bonus



Rating and Rewarding Phases **Summary**

- Supervisors and employees can utilize the **End-of-Cycle Review** to ensure employee input in the recommended rating of record.
- Supervisors use **Performance Indicators** and **Benchmark Descriptors** to distinguish levels of performance.
- The **Pay Pool Panel** process is an additional level of review focused on maintaining **equity** in rating performance and **fiscal integrity** in rewarding performance.
- The **Performance Review Authority (PRA)** holds final authority for resolving disputes and maintaining fiscal integrity.
- During the **Annual Appraisal** conversation, rating officials share the **rating of record, share distribution** and **payout distribution** approved by



Rating and Rewarding Phases

Key References

- **DoD NSPS PEO website**
 - HR Elements for Employees, Supervisors and Managers (brochure)
 - Implementing Issuances (Subchapter 1940)
 - Pay Pool Process At A Glance (brochure)
- **USMC MPC-20 website**
 - LOI “Performance Management”
 - LOI “Pay Pool Management”



Workshop Review

Learning Objectives

- Describe the NSPS performance cycle
- Describe the roles and responsibilities of managers, supervisors and employees under NSPS
- Understand the relationship between the NSPS performance management process and the NSPS pay pool process
- Understand how to monitor performance
- Conduct a productive performance dialogue
- Describe various communication styles and how best to apply them effectively
- Write performance objective accomplishments



One Minute, One Thing

- Take **ONE MINUTE** to decide **ONE THING** you will do tomorrow to improve your chances of success under NSPS based on what you learned today
- Take one minute to share what you will do with your tablemates

